



BC

UNEP/CHW.7/INF/8



Distr.: General
23 September 2004

English only

**Conference of the Parties to the Basel Convention
on the Control of Transboundary Movements of
Hazardous Wastes and Their Disposal**

Seventh meeting

Geneva, 25-29 October 2004

Item 6 of the provisional agenda*

**Report on the implementation of the decisions adopted
by the Conference of the Parties at its sixth meeting**

**Mobilizing resources for a cleaner future: implementing the
Basel Convention**

1. This paper provides a strategy for mobilizing cooperation and resources necessary for the implementation of the Basel Convention and an action plan for advancing the environmentally sound management of wastes in the context of global environment and sustainable development priorities over the biennium 2005-2006.
2. The paper has been prepared under the guidance of the Expanded Bureau of COP VI and the Open-ended Working Group. COP 7 of the Basel Convention is invited to endorse the strategy, and direct the Basel Convention Secretariat to coordinate implementation of its Plan of Action.

* UNEP/CHW.7/1.

240904

For reasons of economy, this document is printed in a limited number. Delegates are kindly requested to bring their copies to meetings and not to request additional copies.

Contents

ACRONYMS	3
1.0 INTRODUCTION	4
2.0 THE BASEL CONVENTION: AN OVERVIEW	5
2.1 WHAT IS THE BASEL CONVENTION AND WHAT DOES IT DO?.....	5
2.2 IMPLEMENTING THE BASEL CONVENTION IN LIGHT OF ACHIEVEMENTS AND CHANGING GLOBAL REALITIES	6
2.2.1 <i>The first decade</i>	6
2.2.2 <i>The path forward: Building national capacity for ESM of wastes</i>	7
3.0 INTERNATIONAL ENVIRONMENTAL AND HEALTH AGENDAS THAT THE BASEL CONVENTION CAN HELP TO ADVANCE	8
3.1 SYNERGIES WITH THE STOCKHOLM CONVENTION	9
3.2 SYNERGIES WITH THE ROTTERDAM CONVENTION	10
3.3 SYNERGIES WITH MEAS ADDRESSING LAND AND WATER	10
3.4 SYNERGIES WITH THE CLIMATE CHANGE CONVENTION	11
3.5 SYNERGIES WITH MEAS ON WORKER SAFETY AND ACCIDENT PREVENTION.....	12
3.6 SYNERGIES WITH HEALTH	12
3.7 SYNERGIES WITH POVERTY REDUCTION.....	12
3.8 COOPERATIVE ACTIVITIES	12
3.9 SYNERGIES WITH THE INTERNATIONAL CHEMICALS MANAGEMENT REGIME.....	13
4.0 PLAN OF ACTION FOR MOBILIZATION OF COOPERATION AND RESOURCES	14
4.1 STRATEGIC CONSIDERATIONS ON THE MAIN FUNDING INSTITUTIONS.....	15
4.2 PREPARING DEVELOPING COUNTRY PARTIES TO REQUEST AND RECEIVE CAPACITY BUILDING ASSISTANCE FOR LIFE-CYCLE ESM OF WASTES	18
4.2.1 <i>Actions</i>	18
4.2.2 <i>Expected inputs and outcomes</i>	19
4.3 PREPARING THE GROUND WITHIN INTERNATIONAL, REGIONAL AND BILATERAL FUNDING AGENCIES FOR REQUESTS FOR ASSISTANCE FROM BASEL CONVENTION PARTIES.....	19
4.3.1 <i>Actions</i>	19
4.3.2 <i>Expected inputs and outcomes</i>	20
4.4 WORKING MORE EFFECTIVELY WITH OTHER MEAS AND INTERNATIONAL INSTITUTIONS TO ADVANCE STRATEGIC COOPERATIVE APPROACHES	21
4.4.1 <i>Actions</i>	21
4.4.2 <i>Expected inputs and outcomes</i>	22
5.0 PATH FORWARD FOR THIS RESOURCE MOBILIZATION STRATEGY AND PLAN OF ACTION	22

Acronyms

ADB	Asian Development Bank
COP	Conference of the Parties
ESM	Environmentally Sound Management
EBRD	European Bank for Reconstruction and Development
ENGO	Environmental Non-governmental Organization
FAO	Food and Agriculture Organization
FCCC	Framework Convention on Climate Change
GEF	Global Environment Facility
IFCS	Intergovernmental Forum on Chemical Safety
ILO	International Labour Organization
IMO	International Maritime Organization
IOMC	Inter-Organization Programme for the Sound Management of Chemicals
MEA	Multilateral Environmental Agreement
NGO	Non-governmental Organization
OECD	Organization for Economic Cooperation and Development
POPs	Persistent Organic Pollutants
SAICM	Strategic Approach to International Chemicals Management
SMC	Sound Management of Chemicals
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNITAR	United Nations Institute for Training and Research
WHO	World Health Organization
WCO	World Customs Organization
WSSD	World Summit on Sustainable Development (2002)

1.0 Introduction

1. The Basel Convention, with its emphasis on an integrated life-cycle approach to environmentally sound management (ESM) of wastes—inclusive of its emphasis on policies and practices aimed at prevention, waste minimization, recycling, recovery, treatment and destruction/disposal of existing wastes—has direct linkages with many key facets of sustainable development. ESM of wastes is a precondition for healthy environments for human settlement, and for the physical well being of general and vulnerable populations, including the poor, workers, children, women, and indigenous people. In particular, ESM of wastes has a key role to play with respect to provision of safe drinking water and air, and ecosystem health, including protection of groundwater, reservoirs, inland watersheds, marine resources, and land from degradation caused by contamination from hazardous and other wastes (e.g., biomedical wastes). Recovery of methane from engineered landfills as one component of the ESM of waste can also provide a significant contribution to the global effort to reduce the amount of fugitive greenhouse gas emissions that contribute to climate change, while providing a source of energy.
2. ESM of hazardous wastes has been a priority of the Basel Convention Parties. Hazardous wastes include end-of-life products and articles that contain toxic elements that can cause adverse health effects to people and ecosystems, including, for example, organic solvents, pesticides that are by their nature intended to be toxic, and certain “heavy metal” wastes (e.g. mercury, cadmium, and copper) that, while derived from natural elements, are generated as a result of human activity. ESM is also applicable to processes for disposal, including destruction, of wastes that can result in harmful releases to air, land and water of substances, such as dioxin compounds, and post-destruction hazardous residue (fly ash, etc.) that is also subject to ESM processes. Significant quantities of hazardous wastes are derived directly from, or via “downstream” uses of substances generated by the chemicals sector (e.g., plastics and electronic wastes). A regime for the sound management of chemicals (SMC), therefore, requires the ESM of hazardous wastes as a main pillar.
3. The Basel Convention’s activities are taking on a growing significance for the global SMC agenda as the Parties, increasingly, shift their efforts to building domestic capacity to manage in an environmentally sound manner the hazardous wastes that they generate. This shift in priorities has been enabled by broad gains already made in implementation of the Basel Convention’s transboundary movement provisions during its first decade. The need to build and strengthen domestic capacities for ESM of hazardous wastes responds to emerging production and consumption trends in the global chemicals sector, with developing nations taking on a more central role in this growth sector as their overall economies expand and become more modernized. The Basel Convention’s emphasis on building capacities for the ESM of hazardous wastes is also indicative of the key role that the Convention must play in fulfilling *Vision 2020* of the World Summit on Sustainable Development (WSSD).
4. There are also broad-spectrum environmental and human health benefits associated with the ESM of all types of wastes that can be achieved as steps are taken to strengthen national capacities for the ESM of hazardous wastes. Many of the tools, approaches, expertise and infrastructure required to address hazardous, including toxic, wastes are broadly applicable, with appropriate modifications, to all types of wastes (e.g., solid waste, biomedical wastes that include both chemical and non-chemical elements), creating potential for additional human health and environmental benefits, which the Basel Convention is attempting to exploit for the benefit of developing country Parties. For example, the skills and approaches utilized for creation and maintenance of national wastes inventories, and creation and operation of infrastructure (storage and destruction facilities, etc.), are applicable to capacity to manage all wastes addressed via the Convention.
5. Despite the importance of ESM of wastes, the Basel Convention Parties have noted that current resources to move forward with implementation of the rights and obligations of the Convention fall short. This shortfall is pervasive and a serious constraint on the ability of the Parties aided by the Secretariat to implement the Convention, including in the context of achieving WSSD goals. This shortfall is multi-dimensional in that it applies to: (1) funds established by the Basel Convention Parties to advance implementation, technical cooperation and partnerships; (2) access to funding that donor nations (including Basel Convention Parties) have made available through international and bilateral financial organizations for global implementation of multilateral environmental agreements that have clear links to ESM of all types of wastes under the Basel Convention; (3) access to funds that donor nations have made available through grants or preferential loans to advance significant environmental,

human health, poverty alleviation and food security objectives that are directly affected by the ESM of all kinds of wastes (e.g., drinking water contaminated by hazardous wastes, sustainable agriculture compromised by contaminated soils, biomedical wastes in solid waste landfills creating the spread of disease primarily to the poor etc.).

6. Taking the foregoing into account, the Basel Convention Parties acknowledge that a strategy for mobilizing cooperation and resources is a vital step to be taken. To this end, the Basel Convention Secretariat offers this vision and plan of action for mobilizing cooperation and resources for implementation of the rights and obligations of the Convention in context of strategic approaches to achieve WSSD goals.

2.0 The Basel Convention: An overview

2.1 What is the Basel Convention and what does it do?

7. The Basel Convention was adopted by the Conference of the Plenipotentiaries on 22 March 1989 and entered into force 5 May 1992. It is one of the largest multilateral environmental agreements (MEAs), with 159 Parties as at 1 October 2003.
8. The Basel Convention is a broadly participatory MEA, including with respect to senior-level decision-making. To this end, the Conference of the Parties (COP) is composed of representatives of all Parties so as to ensure that implementation is an inclusive process with a high level of global “buy-in” for implementation strategies. It is also attended by international governmental and non-governmental organizations.
9. The Basel Convention’s ultimate objective is protection of human health and the environment against the adverse effects that result from exposure to contaminants in wastes, or mismanagement of such wastes. It should be recognized that the Convention is much more than a finite exercise relative to the transboundary movement of hazardous and other wastes already generated and their environmentally sound disposal (albeit this is a common perception, owing perhaps to the Convention’s title, as opposed to an understanding of its provisions). Rather, the Convention offers a comprehensive and integrated approach for realizing the entire range of waste management objectives, including those supportive of the implementation of other MEAs (e.g., the Stockholm Convention, the Climate Change Convention, etc.). The Convention’s general obligations and their implementation entail:
 - Prevention of waste generation through emphasis on the front-end of processes (e.g., product design) and waste minimization, with the objective of making the end-of-life products more recyclable, non-hazardous and ideally, degradable, and reducing *the overall quantity of hazardous and other wastes* generated;
 - For hazardous and other wastes already in circulation, including stockpiles, the availability of adequate treatment, recovery, recycling and disposal facilities meeting ESM criteria; and
 - Provisions for reduction of transboundary movement of wastes. These provisions provide an incentive for creation of adequate national infrastructure for waste disposal. In the absence of such infrastructure, movement of wastes for disposal is restricted only to those nations that can provide environmentally sound disposal appropriate to the particular waste(s).
10. The Basel Convention’s framework and provisions give it a breadth and scope that exceeds other MEAs regarding environmentally sound management of wastes. The Convention encompasses 1000s of hazardous substances and chemicals that are toxic, poisonous, explosive, corrosive, flammable, ecotoxic and/or infectious. The Convention also applies to waste stream categories that are inclusive not only of hazardous substances, *per se*, but also, for example, contaminated packaging and storage materials; wastes resulting from pharmaceutical production, preparation and use; and clinical and related wastes used by the medical, dental and veterinary sectors.
11. The Convention’s provisions for waste prevention, minimization and end-of-life destruction and long-term storage are applicable to persistent organic pollutants (POPs). It therefore is directly applicable to the 12 POPs listed in the *Stockholm Convention on Persistent Organic Pollutants*, as well as to other

POPs that might one day be additions to the Stockholm Convention.¹ In recognition of the close linkages that exist between the Basel and Stockholm Conventions, cooperation on provisions relating to disposal of wastes of the 12 POPs is formalized as a provision within the Stockholm Convention.

12. The Convention's prior informed consent procedure and its provisions relative to hazard communication also entail approaches that have direct synergies with the *Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade* (see Section 4 for more details).
13. The Convention's provisions relative to ESM waste infrastructure have linkages to the *Framework Convention on Climate Change*, in that engineered landfills designed to recapture methane resulting from waste decomposition will reduce greenhouse gases that contribute to climate change, and can contribute to economical generation of energy for use by communities. ESM of wastes offers an important avenue by which developing nations that are most at risk from the effects of climate change can contribute to greenhouse gas reduction efforts, while strengthening ESM waste infrastructure generally (see Section 4.1 for further details).
14. A number of regional conventions² also incorporate or draw upon provisions of the Basel Convention, highlighting their recognition that regional cooperation is important to advancing objectives for environmentally sound management of wastes (as discussed in Section 4).
15. The Basel Convention is legally binding for those Parties that have ratified it. The Convention includes measures for prevention and monitoring of illegal traffic that are backed up by articles that oblige Parties to take appropriate measures to implement and enforce its provisions. Parties in contravention of the Convention may face punitive measures. During COP VI (December 2002), Parties established a Compliance Mechanism that will be used to improve compliance with the Convention's obligations.

2.2 Implementing the Basel Convention in light of achievements and changing global realities

2.2.1 The first decade

16. Within the first decade of the Basel Convention's entry into force, priority was placed upon its transboundary movement provisions. This priority reflected the initial impetus for creation of the Basel Convention as a response by the international community to the problems caused by the annual worldwide production of millions of tonnes of hazardous wastes and their indiscriminate transboundary movement to developing countries that were the least capable of dealing with these wastes.
17. The transboundary provisions of the Convention are broadly implemented, and, in 1995, Parties have adopted an amendment that further restricts exports of hazardous waste from developed (Annex VII) to developing countries (non Annex VII). Entry into force of the 1995 Ban Amendment to the Convention will further strengthen this aspect of the Convention. The Ban Amendment calls for prohibiting exports of hazardous wastes *for any purpose* from countries listed in a proposed new annex to the Convention (Annex VII Parties that are members of the EU, OECD, Liechtenstein) to all other Parties to the Convention.
18. Hazardous wastes and transboundary movement will remain central pillars of the Convention.

¹ For example, the Convention lists halogenated organic solvents; wastes from the production, formulation and use of biocides and phytopharmaceuticals, including waste pesticides and herbicides which are off-specification, outdated (unused within the period recommended by the manufacturer), or unfit for their originally intended use; wastes that contain, consist of or are contaminated with any of the polychlorinated dibenzo-furan and polychlorinated dibenzo-dioxin congeners; and waste substances and articles containing or contaminated with polychlorinated biphenyls (PCBs); waste electrical and electronic assemblies or scrap (excluding those from electric power generation) containing components that include PCB-capacitors.

² Examples include the 1991 *Bamako Convention on the Ban of the Import into Africa and the Control of Transboundary Movement of Hazardous Wastes within Africa* and the 1995 *Waigani Convention to Ban the Importation into Forum Island Countries of Hazardous and Radioactive Wastes and to Control the Transboundary Movement and Management of Hazardous Wastes within the South Pacific Region*.

2.2.2 The path forward: Building national capacity for ESM of hazardous and other wastes

19. With the adoption in 1999 of the *Basel Declaration on Environmentally Sound Management*, the ministers and heads of delegation asserted their vision for building on achievements of the first decade of the Convention such that “environmentally sound management is accessible to all Parties, emphasizing the minimization of such wastes and the strengthening of capacity building.”
20. This emphasis is, in part, a reflection of the considerable progress made with respect to provisions relative to transboundary movement of wastes. The Convention has largely addressed prior informed consent aspects relative to transboundary movement. This progress is being complemented by implementation of the provisions of the Rotterdam Convention, which entered into force 24 February 2004.
21. The Basel Declaration signalled the Convention’s initiation of a new implementation phase now underway, which focuses on strengthening capacity for *domestic waste management* (e.g., with respect to legal frameworks; labelling, awareness raising; collection; creation of temporary and long-term storage facilities; transport and infrastructure for disposal, etc.). The Basel Declaration’s emphasis on ESM of wastes at the domestic level recognizes that lack of capacity to implement ESM of wastes has contributed to many of the legacy issues that the world is struggling with today. These include polluted groundwater and reservoirs, lakes and streams that limit access to or compromise drinking water sources; polluted oceans, including coastal waters, that contribute to degradation of inland and ocean fisheries that are important to national economies and on which more than a billion people depend for their food and livelihood; degraded land otherwise available for tillage or other productive uses; and large tracts of land left uninhabitable for people or animals. Lack of capacity for ESM of waste also places populations at increased risk of health problems, in particular children (owing to their physiology and habits) and the poor. These problems are most severe in developing nations where the risks are compounded by lack of waste, sanitation and water infrastructure generally. Full implementation of ESM of wastes would have a major impact on improving human and ecosystem health and conserving resources.
22. The increased emphasis on domestic capacity building for the ESM of wastes has become even more critical in light of certain key relevant global trends. For instance, changing trends in chemicals production and consumption are placing new stresses on the capacity of developing nations to manage growth in a sustainable manner. Global output of chemicals by 2020 is anticipated to increase by 85 percent over 1995 levels. Concordant with this trend, developing nations are expected to lead the world in growth rates for high-volume industrial chemicals (i.e., those produced at more than 1000 tones per year), increasing their share of world chemicals production to 31 percent (OECD Environmental Outlook, 2001).
23. The increased production of large-volume industrial chemicals by developing nations has implications for energy requirements, water use, generation of contaminants (e.g., during production, subsequent use of products and when products become wastes), and for volume of wastes generated. Enhancing domestic capacity for cleaner production (e.g. via production design, development and use of safer chemicals in processes, etc.) will therefore be an important component of waste prevention and minimization strategies that are themselves a part of planning for sustainable economic growth in developing nations.
24. Chemical consumption is anticipated to grow much faster in developing nations. Non-OECD nations are projected to more than double their demand for chemicals over 1995 levels by 2020 and could account for a third of global consumption by 2020 (OECD Environmental Outlook, 2001). This demand will intensify the challenges developing nations face with respect to capacity for ESM of hazardous chemical wastes.
25. In light of these trends, which the world did not foresee when the Basel Convention was adopted in 1989, aggressive and more integrated and strategic efforts and attendant funding will be needed if Basel Convention and WSSD 2020 goals related to waste and chemicals management are to be realized.
26. To this end, the Sixth COP in December 2002 adopted a *Strategic Plan for the Implementation of the Basel Convention (to 2010)*. The Strategic Plan emphasizes the following:

- Cooperation and partnership. Priority will be given to activities that promote partnerships at all levels (among international organizations; between countries; among ministries and other public authorities within countries; among industry sectors; NGOs and academia). The aim of these partnerships is to promote regional delivery of the Basel Convention, as well as related chemicals conventions (e.g., via finance leveraging activities that can support activities, via reinforcement and involvement of the Basel Convention in relevant MEA activities such as Stockholm national implementation plans, Programme of Action for Africa (Africa Stockpiles Programme), and through identification of implementation activities for priority waste streams³;
- Life-cycle ESM of wastes. For example, capacity building projects will emphasize institutional strengthening, development of frameworks, integration of policy and management within and among institutions; assistance with national legislation; technology transfer, enhanced information exchange, education and public awareness; development/improvements to inventory systems for hazardous wastes, hazardous waste management and emergency plans; waste minimization; and infrastructure and training relative to disposal (i.e., long-term storage and destruction as appropriate to the waste stream/substance(s));
- Improved use/development of Basel Convention Regional Centers. These centers are dedicated to building capacity building for prevention and minimization as well as disposal of waste, e.g., through training and outreach activities and technology transfer, including via pilot projects on waste prevention and minimization; and partnering initiatives. To date, 13 centers have been established in Africa, Central and South America, Asia and the Pacific, and Eastern Europe;
- Enhanced information exchange, education and awareness raising among all sectors of society relative to ESM of wastes; and
- Development of mechanisms for prevention and monitoring of illegal traffic.

27. The Basel Convention Secretariat works to promote the Action Plan for Convention implementation, including through training it provides via workshops (often in co-sponsorship with other MEA Secretariats and international organizations), and in the projects it supports for funding.

3.0 International environmental and health agendas that the Basel Convention can help to advance

28. The Basel Secretariat's internal programmatic policies and mechanisms take into consideration how Basel Convention implementation can occur in a manner that is consistent with and advances objectives of other international environmental agendas. In particular, implementation of the Basel Convention can help to advance implementation of the following:

- The *Stockholm Convention on Persistent Organic Pollutants* (POPs). As previously noted, the Basel Convention—which lists waste streams that include the 12 POPs—through its promotion of waste prevention, minimization and disposal provisions, is essential to advance implementation of this MEA's obligations to reduce and eliminate releases of POPs to the environment, including from processes for destruction/irreversible transformation or environmentally sound disposal, as appropriate, of POPs wastes.
- The *Rotterdam Convention*, specifically regarding refinement of prior informed consent procedures.
- Conventions pertaining to protection of inland water bodies and/or the marine ecosystems (e.g., the Global Programme of Action for the Protection of the Marine Environment from Land-Based

³ While the emphasis is on waste streams, such as electronic waste, obsolete pesticides, and lead acid batteries, the objective is not just to work on disposal at end-of-life, but on life-cycle approaches through partnerships that engage producers, downstream users and consumers. For example, under the Secretariat's current pilot project with the mobile phone industry, network providers, recyclers, and other life-cycle stakeholders guidelines will be developed that encourage ESM for these wastes, e.g., improved product design relative to hazardous components, such as metals, collection and disposal activities appropriate to a nation's capacity, and attendant awareness raising strategies.

Activities; Regional Seas Conventions).

- The UN *Framework Convention on Climate Change* (FCCC). The Basel Convention's efforts to advance environmentally sound management of wastes, including engineered landfills, will significantly facilitate additional design features intended to capture and use methane gases resulting from waste decomposition, consistent with FCCC priorities aimed at reducing global climate change while providing energy for sustainable development.
- Conventions pertaining to workers safety and accident prevention (e.g., the *Convention Concerning the Safety and Use of Chemicals at Work* and the *Convention Concerning the Prevention of Major Industrial Accidents*).
- Objectives for sustainable development as per WSSD (and Agenda 21), including protection and reversing degradation of land and international waters caused by waste contaminants and with respect to synergies such as poverty eradication and health.

3.1 Synergies with the Stockholm Convention

29. Provisions for management of POPs wastes in the Stockholm Convention are described in Article 6, "Measures to reduce or eliminate releases from stockpiles and wastes." Art. 6.2 calls upon the Stockholm Conference of the Parties to cooperate closely with the appropriate bodies of the Basel Convention to, *inter alia*:
 - (a) Establish levels of destruction and irreversible transformation necessary to ensure that the characteristics of persistent organic pollutants are not exhibited;
 - (b) Determine what they consider to be the methods that constitute environmentally sound disposal referred to above; and
 - (c) Work to establish, as appropriate, the concentration levels of the chemicals listed in Annexes A, B and C in order to define the low persistent organic pollutant content.
30. The Basel Convention COP in its Decision VI/23 of December 2002 likewise supports preparation of such guidelines, calling for their completion by the end of 2004. To this end, an Open-ended Working Group of the Basel Convention, with input from Stockholm Secretariat staff, in 2003 initiated work on development of a *General Technical Guideline for Environmentally Sound Management of Wastes Consisting of, Containing or Contaminated with Persistent Organic Pollutants*.
31. Additionally, there are potential benefits for capacity building that can be created through cooperation between the Secretariats to the Basel and Stockholm Conventions and taking into account that many of the Parties to one Convention are also a Party to the other. Efforts at the domestic level can maximize human and financial resources by consolidating capacity building strategies and efforts that apply in common to the 12 POPs, and which also have implications for the management of other substances, materials and waste streams addressed within Basel. For instance, when strengthening or developing legislation and regulations, it makes sense to consider strategies that are applicable to a broad range of toxic and hazardous wastes, while also taking into consideration particularities of specific substances. Similarly, approaches to strengthening of human and institutional capacity are, in many instances, the same, or constitute an integral subset of a larger effort.
32. At the institutional level, the two secretariats participate in regular coordination meetings, on newsletters and other publications, and collaborate on jointly managed capacity-building projects. Examples of such collaboration include joint publication of an inventory of worldwide PCB destruction capacity, and Central America and Southern Africa projects for the environmentally sound management of PCBs. Both secretariats, along with other relevant parties, are involved in the African Stockpiles Programme for the disposal of obsolete pesticides and other unwanted chemicals.
33. At the regional level, several Basel Convention Regional Centres are involved in projects and workshops that have aspects relevant to the Stockholm Convention.

34. Subject to endorsement by the respective governing bodies, there is scope to intensify this cooperation in the future.

3.2 Synergies with the Rotterdam Convention

35. The Basel Secretariat and the interim secretariat of the Rotterdam Convention have co-sponsored workshops to raise awareness and promote capacity building activities as part of on-going cooperation that is expected to continue with the entry into force of the Rotterdam Convention on 24 February 2004. Synergies include development of guidance, training and reporting relative to hazard information with respect to listed chemicals, of which there are currently 37 subject to the PIC procedure (22 pesticides, 9 industrial chemicals and 6 severely hazardous pesticide formulations).

3.3 Synergies with MEAs addressing land and water

36. Wastes that are not managed in an environmentally sound manner have the potential to contaminate inland and marine water bodies, and groundwater. These polluted waters then become a pathway of exposure for animals and people.
37. Storage of hazardous wastes under inadequate conditions (e.g., with respect to containers, labelling, design and location of storage facilities) has led to massive contamination of soil, groundwater, watersheds, and marine waters. Such contamination occurs via direct discharges and runoff, through leaching, including from landfills, as the result of spills and catastrophic events, such as hurricanes, earthquakes, and floods, and in the absence of legislative controls/effective enforcement for polluting activities (e.g., mining, shipping, and heavy industry). Legacy issues, such as contaminated sites, obsolete stockpiles and dumps typically represent active sources of releases to land, water and air that can continue for decades, also with the potential to contaminate food (e.g. crops, fisheries and wildlife).
38. The pollution, globally, of water by industrial and agrochemicals has increased markedly since the 1950s, when the chemical industry greatly expanded in the wake of World War II. Despite measures put in place in recent years, which have resulted in significant reductions in pollution in many situations, the sheer increase in chemicals use and consumption globally has put many water bodies and people dependent on them at risk, with developing nations, owing to their weak capacity, most severely affected. Globally, an estimated 7 million deaths a year are attributable to water polluted by human and animal wastes, and to a lesser but still significant extent, by chemical pollutants (e.g., mining effluent, nitrates from synthetic fertilizers, runoff from persistent organic pollutants and other pesticides) with most of the victims being children (FAO, 1996; UNDP 1998).
39. According to the World Commission on Water for the 21st Century, more than half of the world's major rivers are so depleted and polluted that they endanger human health and poison surrounding ecosystems (Interpress, 1999). An estimated 80% of the pollution load to oceans originates from land-based activities, including chemical and solid wastes. Industrial toxic and hazardous wastes and agrochemical wastes (pesticides, fertilizers) that are either discharged directly or via runoff into waterways that feed coastal ecosystems affect the most productive areas of the marine environment, including estuaries and near-shore coastal waters. Wastes may also be discharged directly into water bodies as a result of spills or intentional/illegal discharges associated with activities, such as oil drilling and shipping. The extent of contamination, while not well documented in developing nations, based on data that is available, is much more extensive than in developed nations, owing to lack of infrastructure and illegal dumping practices. Industrial and municipal wastes that are contaminated with toxic and hazardous chemicals are often discharged untreated.
40. Given that an estimated 3.4 billion people or 60 percent of the world's population lives within 100 kilometers of marine coastal waters and the majority of the remaining 40 percent is concentrated near rivers and other waterways, contamination of water bodies and waterways by wastes can cause adverse health effects (as discussed below) and affect economic sustainability (fishery, tourism, etc.). Industrial waste discharges, agrochemical runoff and mining effluent are also among the main sources of groundwater contamination in developing countries. For example, in Latin America seepage from improper use and disposal of heavy metals, synthetic chemicals, and hazardous wastes reaching groundwater from waste dumps appears to be doubling every 15 years (UNEP 1999). As approximately 95 percent of freshwater derives from groundwater, which once polluted is very costly and difficult to remediate, chemical contamination of groundwater is a serious global concern.

3.4 Synergies with the Climate Change Convention

41. Biogas emissions from landfills, generated primarily from decomposing organic solid wastes, are comprised of carbon dioxide (CO₂) and methane (CH₄),⁴ the two leading contributors to greenhouse gas emissions that contribute to climate change. While there is more carbon dioxide generated and released to the atmosphere globally, methane's capacity to create a greenhouse effect is estimated to be 21 times that of carbon dioxide (over the latter's 100 year life span). Put another way, releasing 10 kilograms of methane into the air today will warm the world about as much over the next decade as a tonne of CO₂. Therefore, while burning methane may itself produce some carbon dioxide, capturing and burning landfill gas would reduce total GHG emissions with significant near-term benefits, while also providing a localized source of energy.
42. Five nations—China, the former Soviet Union, India, the United States, and Brazil—are estimated to be responsible for almost half of all anthropogenic methane emissions, and developing nations as whole for 80 percent.
43. The global methane contribution from landfills to climate change is variously estimated at from six percent to 11 percent. Regionally, landfills account for an estimated 33 percent of methane emissions in North America,⁵ 30 percent in western Europe, 13 percent in Asia, 13 percent in Eastern Europe and 11 percent in other nations (IEA Greenhouse Gas R&D Programme).
44. In most developing nations, the majority of methane and carbon dioxide from wastes is vented to the atmosphere, hence, represents a lost opportunity for electrical or steam generation powered by these gases, as well as for reduction of GHG emissions. Emissions of methane from solid waste disposal on land are expected to double from an estimated level of 32 Mt/y in 1998 to over 62 Mt/y by the year 2025, with all of this increase projected to come from developing countries (IEA Greenhouse; US EPA 2003). The reasons for this projected increase are growth in their populations and expanding and modernizing economies, which are resulting in more waste generated per capita and, in industrializing nations, waste composition that more closely resembles that of developed nations. For example, in China, while coal and rice production are the two major sources of methane, national authorities estimate that emissions from its waste sector will rise steeply in the next few decades to exceed 1 million tons per year, to make it one of the fastest growing sectoral sources of greenhouse gases in China (China 1995 proposal to GEF). In India, increasing urbanization and growing affluence has resulted in a two-thirds increase in per capita generation of waste since independence, nearly all of which is disposed of in non-engineered landfills (i.e., dumps). This trend is projected to continue as annual emissions of methane from landfills are estimated to increase by 2047 more than five times from 1997 levels— from 7 million tonnes in 1997 to 39 million tonnes (Singhal and Pandey, 2001 as cited in N. Damodaran, *et. al*).
45. Prevention and minimization practices, together with engineered landfill creation and recovery of biogas from such landfills should be part of global and national strategies for combating climate change. Such activity will contribute to WSSD objectives linked to [climate change](#) and attendant problems it causes, such as stresses on agriculture, fisheries, and adverse health effects. Recovery of up to 85 percent of landfill gases is possible with existing technologies utilized in conjunction with engineered landfills and waste management that places controls on the types of wastes permitted in a particular landfill.
46. Benefits of engineered landfills also have other synergies with sustainable development beyond benefits to climate change. Currently, most developed countries have few engineered landfills for hazardous and other wastes and waste minimization and waste stream separation is practiced, if at all,

⁴ Biogas content in emissions for CO₂ and CH₄ can be roughly equivalent, although the ratio varies dependent on waste composition and other factors with the range for methane in developing nations as low as 33 percent and as high as 88 percent and for CO₂ similarly ranging from 35 to 89 percent. In general, the methane generated is higher for developed than developing nations, e.g., 112kg methane/tonne of waste in North America, as compared to 38kg/tonne in India (IEA Greenhouse GAS R&A Programme).

⁵ In the United States, landfills constituted the largest source of U.S. methane emissions in 1999 accounted for 34.6 percent of its CH₄ emissions. By contrast, in Canada, methane emissions from landfills account for just 2.9 per cent of its total greenhouse gas emissions, although this figure is expected to be 19 per cent higher by 2010.

on a limited, and localized basis. Most waste of all types is disposed of in open-air dumps. Such uncontrolled dumping creates breeding grounds for insect vectors of disease and rats. Ground water and drinking water aquifers are typically severely polluted near such sites. Odors and trace toxic gases affect the health of the surrounding population, while also posing a direct route of exposure for the poor, who scavenge them for materials they can sell.

3.5 Synergies with MEAs on worker safety and accident prevention

47. ESM of hazardous wastes contributes to worker safety because under conditions of ESM the likelihood of worker exposure to toxic wastes is greatly reduced. ESM management applies not only to proper identification, handling, storage and transport of wastes, but also to waste prevention practices that reduce risks at the end-of-life of products. Similarly, best practices for ESM of wastes at the facility level include measures aimed at accident prevention and best practices for responding to spills so as to minimize exposure to workers and the environment.

3.6 Synergies with Health

48. The Basel Secretariat has produced *Technical Guidelines on the Environmentally Sound Management of Biomedical and Health-Care Waste*.
49. The Secretariat is currently working with the WHO and UN Committee on Transport of Dangerous Goods and the Globally Harmonized System of Classification and Labeling of Chemicals on ESM of biomedical and health care wastes (including hazardous and infectious wastes) relative to their transport and disposal, and on health care waste management policies in selected West Africa nations as part of a project to develop guidance and undertake subsequent activities that are enriched by experience in the field.
50. In addition, the aforementioned activities relating to hazardous and other wastes will help to reduce the risk of exposure to these substances and result in tangential health benefits and cost savings with respect to medical care.

3.7 Synergies with poverty reduction

51. Although the developing world produces and uses fewer chemicals, hence generates fewer toxic and hazardous wastes than developed nations, weak capacity to manage chemical (and also solid) wastes has resulted in disproportionate burden in effects on people in developing countries. The poor are particularly affected both because developing nations have many more people who live under the poverty line and also because of how the poor live and are situated. Poor people are most affected by accidents and waste discharges because they typically live closer to chemical manufacturing/formulating and industrial facilities such as tanneries that generate chemical wastes. The make-shift housing from which many of the large slums in large urban areas in developing countries are constructed are made from cardboard and scrap materials that may have been exposed to or which contain contaminants. In some nations, from 20 percent to 50 percent of the housing stock in large cities is constructed from such materials (UNDP, 1998). Poor people more often must rely on food and water contaminated by wastes, and scavenge, including by children, materials from open landfills and dumps. The rate of re-use of used waste containers is also higher in developing countries. The illiterate poor are at greater risk of exposure from improper re-use of wastes that contained toxic and hazardous materials, for example use of former pesticide containers for transporting water.

3.8 Cooperative activities

52. At the Secretariat level, the Secretariat of the Basel Convention works with the secretariats of the Stockholm and Rotterdam Conventions and with other organizations and secretariats on critical areas for effective and concrete implementation of the Basel Convention (e.g., the UN Commission for Sustainable Development (CSD), UN Conference on Trade and Development (UNCTAD), the World Trade Organization (WTO), the Convention on Prevention of Marine Pollution by Dumping of Wastes and Other Matters, regional seas conventions and action plans, and the Bamako and Waigani Conventions).

53. The Basel Secretariat, as called for in the Basel Declaration and its Strategic Plan, is working to promote and more effectively utilize partnerships as one approach to advancing Convention implementation. The Secretariat recognizes that growth in partnerships has been hindered by a broad perception that the Basel Convention deals only with the transboundary movement of hazardous wastes. As a near-term priority, the Basel Convention is seeking to reorient this perception. For instance, the Convention is seeking to engage industry via its new Basel Convention Partnership Programme in considering life-cycle strategies for products that, while not hazardous as articles in commerce, pose risks to humans and the environment at their end-of-life (waste) stage.
54. Cooperative activities are and will be targeted at making significant contributions to improving the environment and human health in areas of common interest among international environmental organizations, including the sound management of chemicals, and sustainable development generally in areas that can be positively impacted by environmentally sound waste management.

3.9 Synergies with the international chemicals management regime

55. As noted in the introduction, ESM of wastes is a pillar of the sound management of chemicals (SMC). The majority of waste issues that the Basel Convention is working to address are either chemical waste management issues or these constitute an important feature of the issues being addressed. Immediate and priority attention needs to be devoted to the synergies between the ESM of wastes and the international chemicals management regime.
56. The 1992 *Rio Declaration* and Agenda 21 present the sound management of chemicals as an integral part of sustainable development. This vision has subsequently been refreshed via WSSD 2020, which further emphasizes the need for consolidation of effort to achieve SMC.
57. International environmental governance is maturing, with consensus emerging that an enhanced strategic approach is needed to address the various aspects of SMC at the international, regional and national levels. This recognition is supported by:
- UNEP Governing Council in decision GC SS/VII.3, which calls for a strategic approach to international chemicals management; and
 - WSSD 2020 Paragraph 23(b), which calls for further development of a strategic approach to international chemicals management by 2005 based on the Bahia Declaration and Priorities for Action beyond 2000 of the Intergovernmental Forum on Chemical Safety, and urges that the United Nations Environment Programme cooperate with other international organizations dealing with chemical management in this regard.
58. Recognition is also growing among international financial institutions, and some bilateral aid agencies, that SMC management is integral to achieving development objectives for health, poverty alleviation, and food security (e.g. see *Toxics and Poverty: The Impact of Toxic Substances on the Poor in Developing Countries*, August 2002). Greater integration of SMC considerations implies mainstreaming these issues in the programming of the financial institutions.
59. The trend toward greater integration and mainstreaming of SMC agendas should help to resolve counter-productive “fractionalisation” at all levels of government and the transactional costs incurred by both international institutions and nations. For example, the GEF in its Operational Program on Persistent Organic Pollutants (#14) observes, “GEF-funded interventions to support the implementation of the Stockholm Convention will seek synergies and coordination with the activities of other global and regional chemicals-related conventions and agreements.” Operationally, both international bodies and national governments have found themselves in past years in increasing competition with one another for access to the same resources, although the capacity building and implementation activities they are promoting are often complementary and compatible. At the national level, multiple “focal points” and offices/centres have been created to respond to various MEAs. While these may require similar expertise and share similar objectives, they often function in isolation from one another, which can lead to unnecessary redundancy of effort, competition for external and domestic resources, and a fragmented conception and approach to life-cycle management of chemicals at the national level. By contrast, coordinated and integrated strategies provide more opportunities for cohesive vision and more

strategic delivery on that vision, including support for undertakings that build horizontal capacity to manage chemicals and chemical wastes within a country.

60. Examples of recent activities that are an outgrowth of efforts aimed at enhanced integration and mainstreaming include the following:
- Production in 2001, in conjunction with the Rotterdam and Stockholm Secretariats, of a paper on opportunities for “clustering” measures, and joint pilot projects aimed at capacity building, science and technology, legal affairs, institutional matters, monitoring and reporting information, awareness raising and programme support services. The UNEP Government Council approved the paper in February 2002. It is anticipated that the outcome of this cooperation will be more integrated approaches to delivery on SMC, inclusive of life-cycle ESM of wastes, achieved with greater efficiencies with respect to both Secretariats and Parties, while projects will also benefit from pooling of expertise.
 - Cooperation between the Basel Secretariat and Stockholm COP on development of technical guidance relative to Stockholm provisions for ESM of POPs wastes.
 - Working with the FAO, along with other entities, on disposal and prevention of accumulated obsolete stocks of pesticides in Africa.
 - Serving as the lead for a project with UNCTAD on Environmentally Sound Management of Used Lead-Acid Batteries in the Caribbean and Central America so as to assist nine nations in the region to assess their needs for managing this issue in the context of regional cooperation.
 - Cooperating with the ILO and IMO on ship dismantling issues with the aim of developing and implementing strategies for compliance and reducing risks posed to the environment and to workers from hazardous and toxic wastes that these ships contain (e.g., lead-based paint, PCB contaminated oil, etc.).
 - A Sustainable Partnership on Environmentally Sound Management of End-of-life Mobile Phones and a project aimed at funding new partnerships with municipalities for the environmentally sound management of hazardous wastes in urban areas.
61. The Basel Secretariat is also an active participant on international discussions for a Strategic Approach to International Chemicals Management (SAICM). The Secretariat submitted a paper at SAICM PrepCom 1 held in November 2003 in Bangkok. In its submission the Secretariat observed that “both chemical and waste-related multilateral agreements should aim at a common resource mobilization strategy and not compete for the same sources of funding” and presented several themes for enhancing cooperation on life-cycle aspects of chemicals management that would advance Basel Convention objectives and maximize resources. Additionally, the Secretariat held a side event to engage stakeholders in discussions on the role of the Basel Convention in relation to the SAICM process and to ensure that waste minimization is considered in the wider debate about the life-cycle management of chemicals.
62. The Basel Convention has also prepared a background paper for SAICM PrepCom 2, October 2004, Nairobi, Kenya expanding upon the themes highlighted at PrepCom 1, including as they have been integrated into this Basel Convention Resource Mobilization Strategy.

4.0 Plan of Action for mobilization of cooperation and resources

63. The Basel Convention Parties are concerned that without concerted support for ESM of wastes, including at the national, regional and international level, and from international financial institutions and bilateral aid agencies, the gains made in the first decade of action on the Basel Convention, particularly with respect to developing nations, will be diminished as economic growth is embraced without sufficient capacity to guide the ESM of wastes aspects of this growth along a sustainable course. To this end, a Plan of Action for mobilization of cooperation and resources is proposed in this section in support of Basel Convention implementation.

64. Developing country Parties to the Basel Convention continue to have significant gaps in their national capacity for the ESM of wastes. These Parties, having limited human and financial resources, require international support to build their domestic capacity for ESM of wastes consistent with Basel Convention objectives and the vision in the Ministerial Declaration on ESM.
65. The Basel Convention Secretariat needs to invest more effort to guide and assist countries through their focal agencies to put in place conditions supportive of requests for international assistance to hazardous and other waste management. The countries themselves must take steps to more clearly signal to international financial institutions and bilateral aid agencies that they view ESM of wastes as an area where international assistance is a priority.
66. Furthermore, both the Basel Convention Secretariat and the Parties must work to raise awareness in financial aid organizations and donor countries about the interrelationships between ESM of wastes and other key sustainable development and environment objectives, such as the WSSD goals and targets relating to poverty alleviation, children's health, fresh water, sustainable agriculture and food security, land use planning, greenhouse gas mitigation, and POPs, so that capacities regarding the ESM of hazardous and other wastes are mainstreamed into these development and environment objectives rather than being seen as secondary.

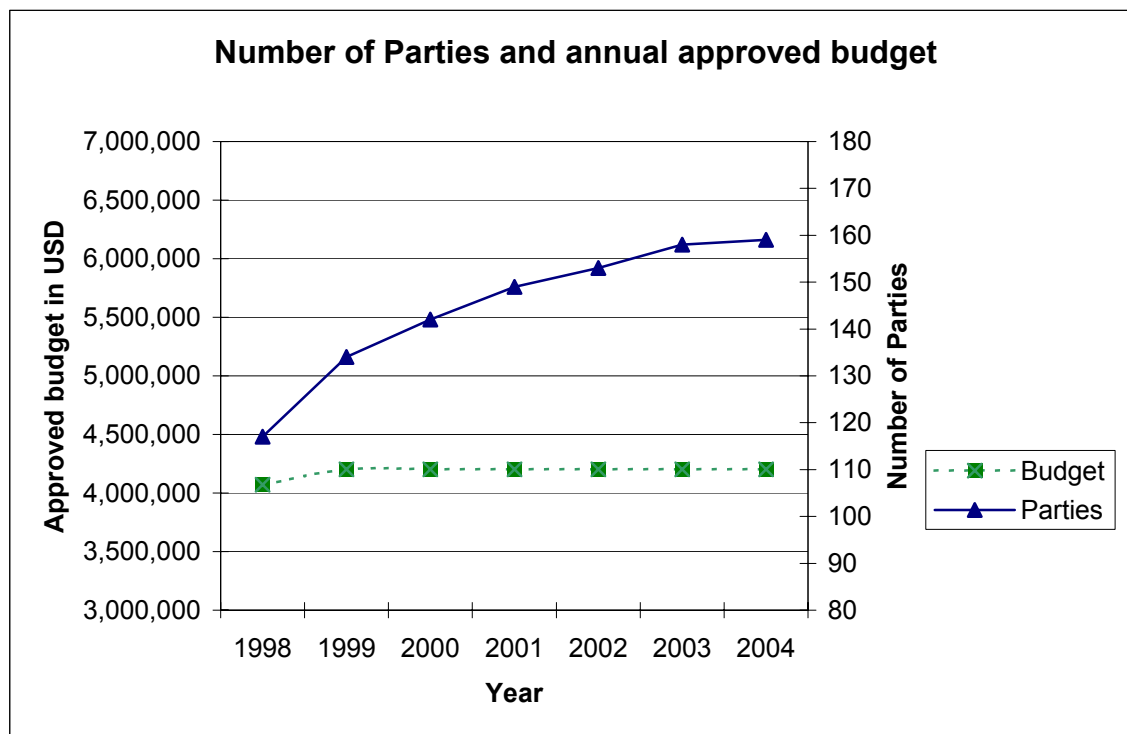
4.1 Strategic considerations on the main funding institutions

67. There is no international fund dedicated to implementation of the sound management of chemicals and waste (e.g., addressing the life-cycle of the full range of chemicals) or for implementation of the Basel Convention. The Parties to the Basel Convention, established in 1992, rely primarily on the Basel Convention Trust Fund (approximately US\$4.2 million p.a.), which is used mainly for financing meetings and conferences, and Secretariat administrative costs. As indicated in Table 1, this amount has remained static for six years, despite a dramatic growth in the number of Parties and commensurate increase in the responsibilities and functions of the Secretariat. In addition, the Secretariat's workload has increased as a result of factors such as the creation of new mechanisms and the increased call for implementation of capacity building needed by an increasing number of developing country Parties.
68. There is also a voluntary trust fund for technical cooperation. However, thus far, this fund has provided only limited resources for mostly earmarked activities, which include covering the cost of bringing representatives from developing countries and other countries requiring assistance to official meetings. Hence, the Basel Convention—despite its breadth, scope, global membership and the universal need of developing nations to develop strategies and mechanisms for ESM of wastes—owing to limited resources is in danger of becoming an “orphaned” convention with respect to capacity of its developing nation and EIT Parties to implement its provisions. This situation is occurring even as the developing countries and CEIT Parties to the Convention enter a decade when more focused action at the domestic level is required to address ESM of wastes.
69. Currently, the main funding vehicle for MEAs is the Global Environment Facility (GEF), which works with three Implementing Agencies (the World Bank, UNDP and UNEP) and executing agencies to fund implementation activities. The GEF offers six focal areas or funding “windows” as the principle mechanisms through which funds for implementation of any MEA can be accessed. Five of the six focal areas were created to fund implementation efforts for specific MEAs:
 - The Climate Change focal area responds to the FCCC
 - The Persistent Organic Pollutants focal area responds primarily, though not exclusively, to the Stockholm Convention.
 - The Land Degradation is explicitly linked to the Convention to Combat Desertification (UNCCD)
 - The International Waters focal area applies to “a mosaic of regional and international water agreements.” The three categories of water projects are: (1) water bodies, (2) integrated land and water projects, and (3) contaminants.
 - The Ozone Depletion focal area responds to the Montreal Protocol of the Vienna Convention on Ozone Layer Depleting Substances and is geared toward building capacity of the Russian

Federation and nations in Eastern Europe and Central Asia to phase out ozone-destroying chemicals.

- The Biodiversity window responds primarily to the Convention on Biodiversity priorities.

Table 1: Number of Parties to the Basel Convention compared with the annual approved budget of the Basel Convention Trust Fund from 1998 to 2004



Source: Basel Convention Secretariat. 2004.

70. Two of the six GEF focal areas, land degradation and international waters, offer opportunities for funding SMC, including ESM of waste activities that would help to advance Basel Convention implementation. The Climate Change focal area is applicable primarily to funding activities relative to recovery of biogas from wastes disposed of in engineered landfills that can be utilized for fuel, consistent with the aims of the FCCC. The POPs focal area is highly compatible with Basel Convention objectives, inclusive of building capacity nationally to manage wastes, albeit its emphasis is implementation of the Stockholm Convention, hence the 12 substances listed in that Convention. The biodiversity and ozone depletion focal areas have limited utility for Basel Convention implementation. Ozone depleting substances are listed in the Basel Convention, and any movements across boundaries for recycling, which are exempted under Montreal Protocol, must comply with provisions of the Basel Convention.
71. With respect to regional financial institutions, support for MEA implementation, inclusive of those addressing ESM of wastes and SMC, is highly variable, and in some instances environmental issues generally are not a high priority. Most institutions have an environmental impact assessment process in place that applies to the full range of development projects that they undertake. Most place emphasis on poverty eradication and/or reconstruction, health and energy, hence there are synergies with SMC and ESM of wastes, although these may not be explicit or fully recognized by the institutions. Less common, are institutions offering funding to advance discrete environmental objectives that assist nations to implement MEA commitments or build environmental capacity in response to national agendas. Of those that do offer such programs, funding per project overall is typically quite limited. Advancement of SMC capacity and infrastructure on a national scale is generally not an articulated priority. Quite often, project funding may solve a one-off contaminant problem in one region or community, but the project and program objectives generally are not structured or funded in a manner

that is designed (or intended) to lead to improved national capacity for ESM of hazardous and other wastes.

72. An example of a regional institution that has worked to articulate an environmental agenda is the European Bank for Reconstruction and Development (EBRD). The EBRD is directed by its founding agreement to promote, in the full range of its activities, environmentally sound and sustainable development. As one of its dedicated activities, undertaken in cooperation with the government of the Netherlands, the EBRD has created a Carbon Fund under which projects involving capture of landfill biogas may be funded⁶ and a Northern Dimension Environmental Partnership, a cooperative effort applicable to environmental problems, including those pertaining to waste and energy, in northwest Russia. It has also funded a number of projects for which objectives included clean production and improved management of solid waste. The EBRD will also play a role to improve the environmental management capacities of states acceding to the European Union, which should include enhanced capacities for SMC including ESM of wastes.
73. The Council of Europe Development Bank (CEB), administered under the authority of the Council of Europe, funds projects within the framework of international conventions ratified under the Council. It therefore includes environmental projects, with emphasis thus far on rehabilitation projects, including those aimed at restoration of water bodies, watersheds and contaminated lands that have been degraded by past practices and/or catastrophic events.
74. The Asian Development Bank recently created a Poverty and Environment Programme. In 2003, as an implementation activity for this programme, the ADB proposed regional technical assistance to promote targeted environmental interventions that contribute to poverty reduction and improve the environment through funding for pilot interventions, targeted analytical studies and information dissemination. One of the three priority areas to which this activity applies is reduction of air and water pollution and waste that directly impacts the health and productivity of the poor. Funding for these projects is capped at US \$250,000.
75. Other regional banks, such as the Inter-American Development Bank and the Caribbean Development Bank could provide similar opportunities.
76. Bilateral donor agencies offer another avenue of funding for Basel Convention implementation. Most bilateral agencies recognize in some manner that synergies exist between environment, poverty, health, energy and natural resource conservation. However, the role played by sound management of chemicals and ESM of wastes in sustainable development is less well articulated, and often imperfectly comprehended.
77. When dealing with international, regional or bilateral financial aid organizations, the Secretariats of MEAs and other international organizations can strengthen their proposals for assistance by pursuing complementary or joint resource mobilization strategies and not competing for the same sources of funding. This approach is, for instance, entirely consistent with overall strategic approaches to international chemicals management (i.e. SAICM), but cooperative opportunities are also extensive in other areas as indicated in this document (e.g. with the FCCC).
78. With respect to proposals that involve capacity building related to the ESM of wastes while advancing objectives of more than one MEA, Basel Convention Parties can benefit from joint development of proposals, utilizing a team-based approach that would include officials from appropriate national agencies, and MEA Secretariats and international organizations. At a minimum, proposals of a significant size, once developed, should be circulated to relevant national and international stakeholders for comment prior to submitting them to potential funders.
79. Financial aid institutions, in responding to country-driven requests for assistance, are increasingly demanding that stated priorities for assistance are clearly “flagged” as priorities in country policy frameworks, such as country assistance strategies. The financial institutions are also working strategically so as to systematically support activities that are designed and selected to build

⁶ Projects can be considered for Bulgaria, Croatia, the Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Russia, the Slovak Republic, Slovenia and Ukraine.

“horizontal” *national* capacity for implementation of closely related MEAs (e.g. supporting SMC as elements of several international agreements). Finally, there are significant efforts being undertaken by some key financial aid institutions to encourage greater coordination to avoid duplication and overlap between the activities of MEAs and other international organizations at the national level in developing countries (e.g. encouraging integration, or at least significantly enhanced cooperation, between MEA focal points and agencies at the national level to minimize reporting burden and other activities that could be combined to enhance efficiencies). The financial institutions will increasingly require more of this strategically coordinated, and programmatic thinking from MEAs, international organizations, and developing country and CEIT Parties to maximize the benefits and co-benefits derived from the resources being invested by donor countries through the financial aid agencies.

4.2 Preparing developing country Parties to request and receive capacity building assistance for life-cycle ESM of wastes

4.2.1 Actions

4.2.1.1 *Intensified activities by the Basel Convention Secretariat to work with Parties to mainstream ESM of wastes in key country policy frameworks*

80. Taking the foregoing into account and subject to the availability of resources, the Basel Convention Secretariat and interested states, consistent with the vision of the Strategic Plan for capacity building, will provide guidance and assistance for developing country Parties to:

- Assess and take steps to mainstream ESM of hazardous and other wastes as a key element of capacity building in the country’s country assistance strategy, sustainable development strategy, and health and poverty alleviation strategy as these might currently exist. These policy frameworks form the context within which financial aid agencies undertake dialogue with donor and recipient countries about their aid priorities. If ESM of wastes is not mainstreamed in these documents, major barriers exist regarding mobilizing aid to life-cycle ESM of wastes priorities; and
- Identify and describe the country’s highest priority capacity building needs for the ESM of hazardous and other wastes at the national and local level, such that identified priorities are described as synergistic with broader national development objectives and the obligations embodied in related MEAs (e.g., establishing an engineered landfill that not only improves waste handling and disposal, but demonstrates positive outcomes for land use, water quality, and reducing risks to the poor, and would be designed for landfill gas capture resulting in potential credits under the Kyoto Protocol and energy benefits for the local community).

4.2.1.2 *Efforts on the part of developing country Parties to the Convention*

81. The Parties, on an individual basis, will:

- With guidance provided by the Basel Convention Secretariat, examine their Country Assistance Strategies, Sustainable Development Strategies, and Poverty Alleviation Strategies (where such strategies exist) with the objective of determining whether ESM of hazardous and other wastes are a clearly articulated component of these strategies;
- With guidance provided by the Basel Convention Secretariat, submit a brief report to the Secretariat (reporting template to be provided by the Secretariat) prior to COP 8 on steps that are being planned and/or have been taken to advance integration of ESM of hazardous and other wastes into the above noted national policy strategies and frameworks, so that these experiences might be compiled and shared with other Parties; and
- With guidance provided by the Secretariat, submit a brief report to the Secretariat (reporting template to be provided by the Secretariat) on the Party’s highest priority capacity building needs to address gaps in national capacity for ESM of wastes, taking synergies with broader national development objectives, the obligations embodied in related MEAs, and the priorities of international, regional and bilateral financing organizations into account as discussed in this

document. This will enable the Secretariat to seek opportunities to provide support within the appropriate financial aid institutions to proposals being generated by Parties consistent with the actions noted in Section 4.3 below.

4.2.2 Expected inputs and outcomes

82. This work will require a consistent level of effort over approximately the next four years given the number of countries that could benefit from this kind of guidance and assistance. The Secretariat will incorporate these activities as a priority into annual work planning indicating the specific targets, level of effort and associated costs of this guidance and assistance for each year. Opportunities will be sought to provide guidance on a regional basis through the Basel Regional Training Centres. In some cases direct interaction with larger countries will also be needed. Progress on this work will be reviewed during the next two COPs.
83. The outcome of this work will be improved readiness for developing country Parties to engage and work effectively with international financial institutions and bilateral aid agencies from which they are seeking project funding under country driven aid grant and loan programs.

4.3 Preparing the ground within international, regional and bilateral funding agencies for requests for assistance from Basel Convention Parties

4.3.1 Actions

4.3.1.1 Outreach and awareness raising by the Basel Convention Secretariat

84. Taking Section 4.1 into account, the Basel Convention Secretariat will:
 - Develop and implement an operational work plan and schedule for undertaking a systematic dialogue with senior-level representatives of international, regional and bilateral financial aid institutions, starting with the most promising institutions determined via an assessment of their current funding priorities relative to the current capacity development priorities of Parties. Through this dialogue and associated activities, the Secretariat will:
 - Determine how the Secretariat can, as part of its outreach and communications efforts to financial aid institutions, foster better awareness and understanding of ESM of hazardous and other wastes as a priority, including demonstrating strong links between ESM of wastes and the core development objectives of these institutions⁷;
 - Determine how funding approaches might more effectively support ESM of hazardous and other wastes as part of efforts to advance other priority environmental objectives where the Basel Convention can make unique contributions (e.g., discuss how funding opportunities through the GEF POPs focal area could support ESM of POPs wastes activities for the 12 POPs listed in the Stockholm Convention, as well as other POPs wastes);
 - Share with the financial aid institutions on a more systematic basis guidance documents developed and approved by the Basel Convention Parties to increase prospects that aid programming and project design led by the financial aid institutions might more fully incorporate Basel Convention guidance related to the life-cycle ESM of wastes;

⁷ By way of example, conditions for approving large loans aimed at infrastructure improvements for health; resource conservation and restoration, and to promote economic growth could include requirements that ESM of wastes be integral to the project. The ESM component could require the creation of waste disposal infrastructure, such that a new water system or restored drainage basin would not be subject to future degradation that undermines the purpose of the project. Similarly, prevention measures could be required such as life-cycle chemicals management plans, inclusive of an ESM waste management component. Infrastructure could be an important feature of such projects, with requirements for creation of adequate storage, treatment and disposal facilities for watershed/basin facilities in key sectors, large agricultural plantations, etc., inclusive of incentives/support. Industrial estate waste management requirements (plans; minimum infrastructure provisions) could be required as conditions of development loans in keeping with sustainable development objectives.

- Identify, in cooperation with the financial aid institution, needs and opportunities for additional guidance to be developed by the Basel Convention Parties, which, as policy statements from the Basel Convention Parties, can influence aid programming and other sources of financing as it applies to life-cycle ESM of wastes;
- Suggest in formal submissions to financial aid institutions opportunities and/or possible changes in aid programming to better accentuate synergies and co-benefits between ESM of wastes, core development objectives, and other environmental objectives;
- Periodically brief the Basel Convention Parties on the results of discussions with financial aid agencies so that these messages can be reinforced in bilateral dialogue between Parties and financial aid agencies; and
- As a trial exercise, prepare and submit as soon as practicable, prior to COP 8, two to three project proposals to key financial aid agencies, in particular GEF and the World Bank, to address two to three major priorities for capacity building under the Convention that involve a number of Parties (thus needing to be led by the Secretariat, at least at the proposal stage), and seek other areas for cooperation that may assist with down-road capacity building opportunities.

4.3.1.2 *Efforts on the part of developing country and EIT Parties to the Convention*

85. The Parties, on an individual basis, will:

- Following on the above noted briefings from the Secretariat regarding results of discussions with financial aid agencies, actively seek to reinforce in bilateral dialogue with financial aid agencies the key messages being conveyed by the Secretariat;
- Participate in the development of project proposals to financial aid agencies that are being advanced by the Basel Convention Secretariat because they address more than one country;
- Actively seek opportunities to advance proposals to financial aid agencies on a bilateral basis consistent with the themes highlighted in this document;
- Submit a brief report to the Secretariat (reporting template to be provided by the Secretariat) prior to COP 8 on current projects already funded by financial aid agencies that are assisting directly or indirectly with the ESM of hazardous and other wastes at the national level so that these experiences can be compiled and shared with other Parties; and
- Submit a brief report to the Secretariat (reporting template to be provided by the Secretariat) prior to COP 8 on steps being taken by the Party to advance proposals for capacity building in areas related to the ESM of hazardous and other wastes, with a summary of the main components of the proposed projects, so that these developments and experiences can be compiled and shared with other Parties.
- As a trial exercise, request the Secretariat to prepare and submit a project proposal for the implementation of POPs waste guidelines to GEF and coordinate national action for the support of the guidelines by COP I of the Stockholm Convention.
- Increase their efforts in promoting coordination between competent national authorities/departments to facilitate the submission and approval of relevant project proposals by multilateral and national funding institutions.

4.3.2 **Expected inputs and outcomes**

86. This work will involve an initial, relatively extensive communications campaign over the next two years, requiring considerable investments in resources and time, tapering off to routine activities as awareness is improved within international, regional and bilateral financial aid institutions and the Parties.

87. Proposal preparations, and guidance document activities, as these emerge in cooperation with aid institutions, will be an ongoing level of effort that will fluctuate depending on the number and nature of proposals and projects going forward.
88. The Secretariat may be requested to incorporate these activities as a priority into annual work planning over the next two years indicating the specific targets, level of effort and associated costs of these awareness raising communications activities. Progress on this work will be reviewed at COP 8, at which time a better sense of ongoing level of effort for proposals and cooperative guidance documents will be available.
89. The outcome of this work will be improved receptivity within financial aid institutions for proposals that address directly and indirectly the ESM of wastes, and will add to the sophistication of parties in their interaction with financial aid institutions.

4.4 Working more effectively with other MEAs and international institutions to advance strategic cooperative approaches

4.4.1 Actions

4.4.1.1 Strategic cooperation to be encouraged by the Basel Convention Secretariat

90. Taking the foregoing into account, and subject to available resources, the Basel Convention Secretariat will:
- Continue to work through existing cooperative mechanisms between the MEA Secretariats and international organizations to maximize opportunities for strategic cooperation, including in the development of large capacity development assistance proposals (i.e. where there is potential to build capacities at the national level relevant to the obligations or mandate of more than one MEA or international organization);
 - Analyze how country focal points and competent authorities for MEAs at the national level might coordinate their efforts and cooperate to streamline similar sets of activities, such as national reports for the various related MEAs, and training initiatives;
 - Discuss with other related MEA Secretariats and, given appropriate levels of receptivity, implement pilot projects over the next two to three years in four to five countries in various regions of the world, which would demonstrate how better coordination and cooperation of MEAs at the international and national level around similar sets of activities could work more effectively for the benefit of developing country and EIT Parties;
 - Continue to participate in the current process for development of a Strategic Approach to International Chemicals Management (SAICM);
 - Determine how Basel Convention Regional Centers might be strengthened to deliver more effectively on capacity building objectives. This effort will examine opportunities for enhancing efficiencies by reducing duplication on delivery of SMC objectives held in common by more than one MEA. In this context, the Basel Convention recognizes that there are opportunities to consolidate human and financial resources through greater cooperation among or consolidation of Basel and other regional and national centres that deliver training and technology transfer on aspects of the sound management of chemicals (e.g. Cleaner Production Centres). For developing nations that have relatively large populations and wastes and economies and are major producers or becoming major producers of chemicals, the most pragmatic approach is national centres that deliver on inter-linked MEAs. However, the Basel Convention regional training centre approach may well remain the most viable option for smaller nations that lack the expertise, infrastructure, and financial and human resources to support national centres. Mechanisms for long-term financial sustainability of regional and national centres remains a challenge that will need to be more effectively addressed by the Secretariat working in cooperation with other international organizations, the Parties at the domestic level, and financial institutions and donors; and
 - Report to COP 8 on opportunities for and progress made in support of improved strategic

coordination and cooperation in the above-mentioned areas and further measures that may be required towards a sustainable financial base for the implementation of the Basel Convention and its regional delivery by Basel Convention regional centres.

4.4.1.2 Efforts on the part of developing country Parties to the Convention

91. The Parties, on an individual basis, will:

- Work with the Secretariat to assess how national focal points and competent authorities for MEAs at the national level might consolidate their efforts and work more cooperatively to streamline similar sets of activities, such as national reports for the various related MEAs, training, etc;
- Provide a brief report on these activities to the Secretariat (template to be provided by the Secretariat) so that these experiences might be compiled and shared with other Parties; and
- If called upon to participate in the above noted four to five country pilot projects, give due consideration to such participation and work with the Secretariat to share results and experiences with other Parties.

4.4.2 Expected inputs and outcomes

92. This work will require a consistent, moderate level of effort over at least the next 4 years. If the above noted pilot projects proceed, there will be periods of increased activity. Under the guidance of COP 7, and subject to available resources, the Secretariat will incorporate these activities as a priority into annual work planning indicating the specific targets, level of effort and associated costs of this activity area. Reports will be made to the COP on the need for activities beyond the initial four-year period
93. The outcome of this work is anticipated to be actual and demonstrated willingness to improve strategic coordination and cooperation between the MEAs at the international and national level to meet increasing expectations of key financing stakeholders to maximize co-benefits and efficiencies in the implementation of these agreements.

5.0 Path forward for this Resource Mobilization Strategy and Plan of Action

94. This Resource Mobilization Strategy will be presented to COP 7 for approval to proceed with implementation of its Plan of Action.

References

- IEA Greenhouse Gas R&D Programme. 1998. Abatement of Methane Emissions. Compiled by S. Moore, P. Freund, P. Riemer and A. Smith. ISBN 1 898373 16 7. <http://www.ieagreen.org.uk/ch4rep.htm>
- Damodaran N., A. Robinson, E. David, and N. Kalas-Adams. 2003. Urban Solid Waste Generation and Management in India. Proceedings Sardinia, Ninth International Waste Management and Landfill Symposium, © S. Margherita di Pula, Cagliari, Italy; 6 - 10 October 2003, by CISA, Environmental Sanitary Engineering Centre, Italy.
- FAO. 1996. Control of water pollution from agriculture - FAO irrigation and drainage paper 55. B Ongley, Edwin D. 1996. GEMS/Water Collaborating Centre Canada Centre for Inland Waters, Burlington, Canada. M-56. ISBN 92-5-103875-9. © FAO.
- Inter-Press Service (IPS). 1999. Most rivers in the world are polluted. (Washington, D.C.).
- OECD. 2001. OECD Environmental Outlook for the Chemicals Industry. 2001. OECD, Paris.
- Plan of Implementation of the World Summit on Sustainable Development. 2002. http://www.un.org/esa/sustdev/documents/WSSD_POI_PD/English/POIToc.htm
- Singhal S. and S. Pandey. 2001. Solid waste management in India: Status and future directions. *TERI Information Monitor on Environmental Science*, vol. 6, n. 1, June.
- UNEP. 1999. Global Environmental Outlook (GEO) 2000. Published for UNEP by Earthscan Publications Ltd. ISBN: 1 85383 588 9 (paperback), 1 85383 587 0 (hardback) ISSN: 0 1366 8080.
- UNEP. 2002. *Report of the World Summit on Sustainable Development*. UNEP Publication A/CONF.199/20*. ISBN 92-1-104521-5. 4. (The WSSD *Plan of Implementation* appears in Annex 2).
- US EPA. 2003. (United States Environmental Protection Agency). Methane and Other Gases. <http://www.epa.gov/ghginfo/topics/topic4.htm>
- World Bank. 2002. Toxics and Poverty: The Impact of Toxic Substances on the Poor in Developing Countries.
-